

# OFFICE OF PROCUREMENT

Review and Execution of Procurement Documents  
LMS-OP-4537 Revision: O

Approval Original Signed By  
Organizational Unit Manager, Office of Procurement  
Date 9/10/2007

NASA Langley Research Center (LaRC)  
Langley Management System (LMS)

## CHANGE RECORD

Rev. No.	Date	Description
B		Increases IPR review thresholds and clarifies policies in paragraph IV.A.3. and Tables 3, 5, 7 and 8. In addition, revises tables to reflect new organizational titles and reference to LAPG 5000.2, Appendix A instead of P-247.
C		Reduces levels of review/approval, e.g. deletes Tables 7, 8, & 9. Eliminates an OP requirement for higher level technical reviews that should more appropriately be determined by the cognizant technical organization. Implements policy that only ASMs will be conducted, i.e. acquisition plans are no longer written.
D	7/17/01	Corrects procedures in paragraph III.B.3. Clarifies Table 5, note 2. Adds legal review requirements.
E	8/1/02	Adds Section II regarding records. Revises legal review requirements. Reduces review threshold for UCAs in accordance with PIC 01-16. Excludes certain types of modifications from IPR review. Incorporates information from 1098 handbook and deletes references to 1098 tabs. Makes editorial revisions.
F	9/25/02	Updates information due to publication of LAPD 2030.1
G	1/7/03	Clarifies distribution of JOFOC/sole source documentation as shown in Table 1
H	3/3/03	Revises Tables and provides consistent reference to LAPD 2030.1.
I	5/9/03	Revises Table 1 review thresholds.
I-1	1/12/04	Revised Table 5, Note1.
J	4/8/04	Removes reference to LF P113.
K	6/30/04	Revised Table 5, Note1.
K-1	9/22/04	Clarifies Table 1, Note 3. Clarifies requirements throughout. Corrected document URLs.
K-2	11/3/04	Table 3, note 1; Table 4, note 3; and Table 5, note 3 revised for clarification.

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*Verify correct revision before use by checking the LMS Web Site*

## CHANGE RECORD

Rev. No.	Date	Description
L	4/5/05	Revised Paragraphs III., B, IV., 4. Deleted Paragraphs IV., A.,3, B., 2., (f) (relettered remainder of paragraph), deleted part of Paragraph IV, B.3. Removed Independent Procurement Reviewer (IPR), revised Tables 3, 4, and 5. Deleted references to P328.
M	6/16/06	Table 1, increased threshold from \$50M to \$75M and corrects organizational reference. Table 1, 2, 3 and 6, revised location of note reference.
M-1	9/12/06	Table 2, ASM title changed to PSM in accordance with PN 04-16.
N	4/6/07	Clarified IV, B, 1, NF 1098 applicability. IV, B, 2, (a) established policy on acceptable documentation of technical input. Table 1, corrected thresholds to comply with FAR updated thresholds. Table 3 & 4 thresholds increased to \$10M. Other minor clarifications.
O	9/10/07	Section IV, B, 2, (a) Technical Personnel, revised to clarify technical input (i.e., sole source justifications) are acceptable via the purchase request electronic submission process.

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## I. Introduction

This procedure establishes the guidelines that govern the review and approval of procurement documents in order to ensure that the procurement action complies with the Federal Acquisition Regulation (FAR), the NASA FAR Supplement (NFS), and other applicable documents.

## II. Records

Records generated by this procedure are contained in the Contract Files.

## III. Listing of Instruction Topics

- A. Policy
- B. Procedures/Responsibilities
  - 1. Preparation of Contract File/Documents for Review
  - 2. Review of Contract File/Documents
    - (a) Technical Personnel
    - (b) Office of Chief Counsel
    - (c) Price Analyst
    - (d) Contracting Officer/OP Branch Head
    - (e) Small Business Specialist
    - (f) Procurement Officer and above
  - 3. Results of Review
  - 4. Other Approvals

## IV. Instructions

### A. Policy

1. All simplified acquisitions, solicitations, contracts, contract modifications, grants, cooperative agreements with commercial firms and educational institutions, and contract-related correspondence must be executed by a Contracting Officer (CO) or Grants Officer acting within the limits of his/her Contracting Officer Certificate of Appointment.

2. All contractual documents, regardless of dollar amount, require a complete review by the responsible CO before final signature. Additionally, correspondence of a potentially controversial nature (including, but not limited to, show cause notices, stop work orders, or denial of requests for equitable adjustments) shall also be reviewed by the cognizant Branch Head before release. All contractual documents shall also be reviewed as indicated on Tables 1 through 6. Applicable review form such as the LF P141 shall be completed and filed with the cognizant document as evidence that the required reviews have taken place. The level of review required by the attached Tables 1 through 6 is determined by the dollar value of each action addressed by each table. For the purposes of this review, this dollar value reflects the cumulative total value. For example, the value of all options would be added to the basic contract amount to determine the level of review. In instances where variables are included

under a contract, such as indefinite quantity situations, the maximum amount of the potential obligation shall be considered in determining the appropriate reviewer.

B. Procedures/Responsibilities

1. Preparation of Contract File/Documents for Review

Contract Specialists are responsible for assuring the completeness and orderliness of the contract file. The NASA Form (NF) 1098, "Checklist for Contract Award File Content" shall be used for all procurements and new work modifications except for acquisitions using Simplified Acquisition or FAR 13.5 procedures (see LMS-OP-4538). The checklist shall become a permanent part of the file. Contract Specialists and Contracting Officers will indicate on the form all items contained in the contract file. The contract file must provide a complete and accurate record of the steps that led up to contract award(s). A reviewer must be able to reconstruct all steps of the transaction.

When forwarding modifications for review, the work copy of the contract file or any previous amendments or documents having a bearing on the proposed modification shall accompany the file to be reviewed.

2. Review of Contract File/Documents

(a) Technical Personnel

Review procurement documents as required to ensure that they adequately reflect the requirements and considerations of the user. Technical input is acceptable via email, or through the Purchase Request submittal process in accordance with LMS-CP-4505, with no signature on task order evaluations, unilateral modifications and simplified acquisition and commercial item actions less than \$100,000. All other actions require a signed document from the technical person (e.g., technical evaluations for contract changes, JOFOCS, option exercise determination, delegations).

(b) Office of Chief Counsel

Review documents and file for legal sufficiency as required by NASA Policy Directive (NPD) 5101.1. Legal review shall be obtained for those actions specified in the LAPD 2030.1 issued by the Office of Chief Counsel on this subject. Comments of the legal reviewer will be in writing on LF P141 with the original becoming a permanent part of the document file. In those cases where legal comments are provided, a memorandum to the file shall be prepared to address the disposition of those comments. In addition, actions not required to be submitted for review may be submitted for review at the discretion of the Contracting Officer.

(c) Price Analyst

Review solicitations before issuance to ensure that pricing considerations are adequately addressed. Review prenegotiation positions to ensure proper understanding by the Contract Specialist of the pricing report in developing the position. Comments of the Price Analyst shall be in writing with the original becoming a permanent part of the document file.

(d) Contracting Officer/OP Branch Head

Review documents for completeness and ensure adherence to applicable laws, procurement regulations, policy, and procedures. Ensure the document adequately protects the rights of the Government. Review to determine that the award is both fair and reasonable and in the Government's best interest.

(e) Small Business Specialist

Review documents to ensure compliance with applicable small business statutes, regulations, and directives. (See LMS-OP-4507.)

(f) Procurement Officer and above

The Procurement Officer and others shall act in their capacity as approving officials. That is, their concurrence or signature on the document shall serve as approval for the document at that level. Documents that are disapproved shall be corrected or the action cancelled. Any issues that cannot be resolved via the lower level supervisory channels shall be brought to the attention of the Procurement Officer for final resolution.

3. Results of Review

A procurement review will be accomplished for actions outlined in Tables 1 through 6, as well as random review actions; these reviews will remain a part of the permanent file.

4. Other Approvals – OP Branch Head and Procurement Officer.

Notwithstanding the review/approvals outlined in Tables 1 through 6, other documents require the review and/or approval of either the OP Branch Head or the Procurement Officer. Some examples of such documents are: D&F for advanced payments; cancellation of bids after opening -- (decision to proceed by Negotiation); and draft RFP waivers. Whenever the Procurement Officer is the approving official, the file/document shall have been reviewed by lower level supervisor(s) prior to being sent to the Procurement Officer.

**TABLE 1**

**REVIEW AND APPROVAL MATRIX**

Justification for Other Than Full and Open Competition (JOFOC)/Sole Source Justifications/1 & 2

	Below \$550K	> \$550K - \$11.5M	> \$11.5M - \$78.5M	Over \$78.5M
Requester/Initiator	CE	CE	CE	CE
Contracting Officer	CE, A/3	CE	CE	CE
Procurement Officer		C	C	C
Competition Advocate		A	C	C
Center Director			A	C
Agency Competition Advocate				C
AA for Procurement				A

- 1 Provide one copy of JOFOCs valuing over \$550K to the Center Competition Advocate.
- 2 See LAPD 2030.1 (<http://lms-r.larc.nasa.gov/admin/documents/LAPD2030-1.pdf>) for OCC review requirements.
- 3 All sole source justifications for simplified acquisition procurements between \$25K and \$100K shall be approved by either the PR Screener or the cognizant Branch Head or Assistant. All JOFOCs pursuant to FAR 13.5 up to \$550K shall be approved by either the cognizant Branch Head or Assistant.

A = Approval

C = Concurrence

CE = Certification

**TABLE 2**

**REVIEW AND APPROVAL MATRIX**

Procurement Strategy Meetings (PSMs)/1, 2 & 3

	Center PSM	HQ's PSM
Contracting Officer	C	
Procurement Officer	A	
SSA	C	
AA For Procurement		A

1 PSMs are not required for those procurements listed at NFS 1807.103(d)(iii).

2 See LAPD 2030.1 (<http://lms-r.larc.nasa.gov/admin/documents/LAPD2030-1.pdf>) for OCC review requirements.

3 See LMS-OP-4509 for PSM guidance.

A = Approval

C = Concurrence



**TABLE 3**

**REVIEW AND APPROVAL MATRIX**

Solicitations (including Draft RFPs)/2 & 3

	Langley Review and Approval Required (Action either not submitted or not selected under Master Buy)		HQ's Review and Approval Required (Action selected under Master Buy)	NRA's and CANS
	Below \$10M	\$10M and Over		
Contracting Officer	R/1, A	A		R
Procurement Officer				C
Solicitation Review Board (SRB)/4		R	R	
SSA or Center Director			C	A
NASA Headquarters			A	

1 All competitive solicitations over \$750K; review conducted prior to OCC review.

2 See LAPD 2030.1 (<http://lms-r.larc.nasa.gov/admin/documents/LAPD2030-1.pdf>) for OCC review requirements.

3 This table does not apply to acquisitions using Simplified Acquisition Procedures or FAR 13.5 procedures.

4. See LMS-OP-4511 for membership of the SRB.

A = Approval

C = Concurrence

R = Review

**TABLE 4**

**REVIEW AND APPROVAL MATRIX**

Prenegotiation Position Memorandum/1 & 2

	Langley Review and Approval Required (Action either not submitted or not selected under Master Buy)		HQ's Review and Approval Required (Action selected under Master Buy)
	Below \$10M	\$10M and Over	
Contracting Officer	R/3, A	A/5	R
Prenegotiation Review Committee (PRC)/4		R	R/3
Procurement Officer			C
Center Director/Deputy Director			C
NASA HQ			A

1 This table does not apply to acquisitions using Simplified Acquisition Procedures or FAR 13.5 procedures.

2 See LAPD 2030.1 (<http://lms-r.larc.nasa.gov/admin/documents/LAPD2030-1.pdf>) for OCC review requirements.

3 Review all prenegs over \$750K prior to OCC review and negotiations.

4 See LMS-OP-4520 for membership of the PRC.

5 Approval after PRC review.

A = Approval

C = Concurrence

R = Review

**TABLE 5**  
**REVIEW AND APPROVAL MATRIX**

Award of Documents/1 & 2

	Langley Review and Approval Required (Action either not submitted or not selected under Master Buy)	HQ's Review and Approval Required (Action selected under Master Buy)
	> \$100K	
Contracting Officer	A	R
Procurement Officer		R
Center Director		C
NASA HQ		A

- 1 Award documents include new awards and modifications (excluding options) that will increase the contract value. If a cooperative agreement with a for-profit firm will be awarded based upon an unsolicited proposal, refer to the Grant & Cooperative Agreement Handbook, Section D, 1274.202(b)(2) for additional approval requirements.
- 2 See LAPD 2030.1 (<http://lms-r.larc.nasa.gov/admin/documents/LAPD2030-1.pdf>) for OCC review requirements.

A = Approval

C = Concurrence

R = Review

**TABLE 6**

**REVIEW AND APPROVAL MATRIX**

Undefinitized Contract Actions (Change Orders)/2

	\$100K or less	Over \$100K and meets NFS exceptions	Over \$100K and does not meet NFS exceptions
Initiator/COTR	C	C	C
Contracting Officer	C	C	C
OP Branch Head	C	A/1	C
Deputy Procurement Officer			C
Procurement Officer	A		C
Associate Director			C
Center Deputy Director			C
Center Director			A/1

- 1 Exceptions to the requirement for Center Director approval for issuance of undefinitized actions over \$100K are set forth in 1843.7004.
- 2 See LAPD 2030.1 (<http://lms-r.larc.nasa.gov/admin/documents/LAPD2030-1.pdf>) for OCC review requirements.

C = Concurrence

A = Approval, in writing